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16 July 1975

MEMORANDUM FOR: Inspector General

SUBJECT : Looking Ahead to the Details of Inspections

1. As we reconstruct an inspection program some thought should be given not only to the broad nature of the program, as we have done in the paper to the Director, but to the question of the details of its implementation.

2. As a result of the Rockefeller Commission recommendations we probably will wish to establish some system of priorities for selecting components to be inspected. with special attention to

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[Redacted] inspection of the more static headquarters activities that are engaged in either analytical or purely administrative support functions would probably be conducted on a less frequent basis. Usually inspections will be on a scheduled basis, but when circumstances appear to warrant it the Inspector General may decide to conduct an unannounced inspection.

3. In looking forward to the priority inspections, i.e., of those activities with "sensitive" action responsibilities, there are certain basic approaches that should be prepared to give purpose and coherence in the inspection program. These are discussed below, not necessarily in the order of importance:

Inspection Plan

Preparation for inspection of a component would commence with a preliminary review of its charter, and those regulations and legal requirements under which it operates. Such a preliminary review would serve two purposes: (1) establish basic terms of reference for determining policy-level interests that

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should be addressed; and, (2) develop a list of specific subject matter (check-off list -?) to ensure that certain subject matter is covered.

A pattern of selected interviews will be established in advance, tailored to meet the specific interest that will constitute the main focus of the inspection (the focus may change from one inspection to another). Meetings with senior personnel in the component to be inspected will help establish the direction and the emphasis of the inspection. The inspection should progress quickly to a series of briefings for all of the inspection team members, with relevant internal organizational material and policy directives being provided for basic reference.

Responsibility for organizational elements will be assigned among the members of the inspection team for the headquarters elements, and tentative plans will be made for assigning field visits to the inspectors.

Conduct of the Inspections

It is not intended that there be comprehensive in-depth interviews of all personnel. Except in special situations a representative sampling of personnel will be conducted, with some additional emphasis in those areas determined to be of special interest in the Inspection Plan. Notices will be issued stating that employees can call O/IG for appointments with inspectors.

Inspectors will keep good working records of their interviews, and their individual working files will be so organized as to facilitate later establishment of permanent files that document the inspection. This is a new requirement, to document inspection activity for external reviewing authorities (PFIB and NSC), not having been necessary in the past. Meetings with senior personnel in the component being inspected will be reduced to memoranda for the record for possible retention in the permanent files. As inspection of organizational sub-elements is completed preliminary findings will be summarized in memoranda for the record; these interim summaries will help document the progress of the inspection and provide a basis for either modifying lines of inquiry or making preliminary judgments on interim proposals that should not await completion of a final report.

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Conduct

Representatives of the Inspector General are not inquisitors. Their role is that of objective fact-finders working in cooperation with the element being inspected. The function is to help rather than to prosecute. The posture is not that of an aggressive search for wrong-doing; it is a matter-of-fact inquiry into what is being done, why, and how it is being done. Relationships between the inspectors and the component being inspected should always be correct and friendly. The manner of the inspectors should be sympathetic as the intent is to elicit information rather than to extract it by interrogation.

Complaints or criticism of management by employees will be treated as confidential. If there is validity in a criticism it usually can be documented or will be verified by others; it need not be credited to a single employee.

All copies of memoranda for the record shall be routed through the team captain to the Chief, Inspection Staff and the Inspector General.

There shall be periodic meetings of the inspection team to exchange views and information. This is to maintain on the part of the team members a coherent view of the progress of the inspection and of questions that develop that may relate to more than one element of the component being inspected. The team captain will report progress to the Chief, Inspection Staff and Inspector General and raise special questions as they emerge.

Personnel cases that develop in the course of interviews will be handled as other personnel cases, being assigned by the front office.

It will be a matter of normal practice to have discussions with other Agency components providing support to the component under inspection, those that receive service from it, and those that coordinate with it in the normal course of business.

In the course of overseas inspections it will be customary to interview the Chief of Mission, and the key officers in the diplomatic

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installation in question (Chief of the Political Section, Chief of the Economic Section, Military Attache, and where appropriate, Embassy support elements).

Preparation of Report

The final report should be concise and tightly organized. Organizational description should be held to a minimum, supported by gross manpower and budget figures. General descriptive material will be held to a minimum, the emphasis being on specific issues warranting discussion, concluding in each instance with findings judged to be of sufficient importance to report. As this approach to drafting the report--concentrating on issues--may make it appear critical rather than balanced, care will be taken to make criticism as constructive as possible.

Each report probably will have unique features of its own because of the subject matter peculiar to the component being inspected. An attempt should be made, where appropriate, to have specific statements of overall findings as to management, organization, and general effectiveness. In those organizational elements with "sensitive" action responsibilities a summary section should be prepared stating the practices in effect to ensure the propriety of the activity, and the manner in which the requirements are observed. This could be followed by a series of specific topical discussions arising from the findings of the inspection.

Final Conclusion of the Inspection Report

There will be a number of discussions with personnel in the element being inspected, during the course of the inspections, for the purpose of clarifying understanding and resolving questions of fact. This will give the people being inspected some idea of the direction of the thinking by inspectors and also gives them an opportunity to influence the inspectors. By the completion of an inspection there should be few surprised.

It is practically impossible for outsiders, such as inspectors, to be totally accurate in factual summaries. Usually such errors as may occur are minor, but where they are important they could change the nature of the final conclusions. It is important that

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the factual discussion in the report be agreed upon, even if the conclusions are not; to this end the draft report will be submitted to the component being inspected for review and discussion prior to the completion of the final draft.

The Inspector General will review the final report and forward it to the DCI and the Deputy Director concerned. For purposes of general action the report will be treated as the property of the Directorate concerned, although issues arising from a report may be submitted to the Management Committee for consideration.

Arrangements for providing copies of the report to PFIAB and the NSC will be made.



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S. D. Breckinridge
Deputy Inspector General

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